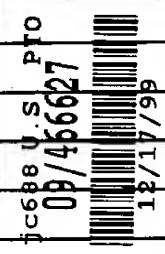


|   |                            |             |
|---|----------------------------|-------------|
| FORM PTO-1449 (Modified)<br><br>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S<br>INFORMATION<br>DISCLOSURE STATEMENT | ATTY. DOCKET NO. YO999-429 | SERIAL NO.: |
|   | APPLICANT: Ming-Ling Lo    |             |
| (Use several sheets if necessary)   | FILING DATE: Herewith      | GROUP:      |

REFERENCE DESIGNATION U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIALS | DOCUMENT<br>NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE<br>(IF APPRO.) |
|----------------------|--------------------|------|------|-------|----------|----------------------------|
| AA                   |                    |      |      |       |          |                            |
| AB                   |                    |      |      |       |          |                            |
| AC                   |                    |      |      |       |          |                            |
| AD                   |                    |      |      |       |          |                            |
| AE                   |                    |      |      |       |          |                            |
| AF                   |                    |      |      |       |          |                            |
| AG                   |                    |      |      |       |          |                            |
| AH                   |                    |      |      |       |          |                            |
| AI                   |                    |      |      |       |          |                            |
| AJ                   |                    |      |      |       |          |                            |
| AK                   |                    |      |      |       |          |                            |



FOREIGN PATENT DOCUMENTS

|    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION |    |
|----|-----------------|------|---------|-------|----------|-------------|----|
|    |                 |      |         |       |          | YES         | NO |
| AL |                 |      |         |       |          |             |    |
| AM |                 |      |         |       |          |             |    |
| AN |                 |      |         |       |          |             |    |
| AO |                 |      |         |       |          |             |    |
| AP |                 |      |         |       |          |             |    |

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

|     |    |   |
|-----|----|---|
| MIC | AQ | "Extensible Markup Language (XML)1.0 , W3C Recommendation 10 -February-1998, <a href="http://www.w3.org/TR/REC-xml">http://www.w3.org/TR/REC-xml</a> , 10/4/99, pp. 1-41. |
| MIC | AR | A. Deutsch et al., "Storing Semistructured Data with STORED", SIGMOD '99, International Conf. Management of Data, Philadelphia, PA (AMC 1999), pp. 431-442.               |
|     | AS |   |

|                                     |                                    |
|-------------------------------------|------------------------------------|
| EXAMINER<br><i>Mark Channg ween</i> | DATE CONSIDERED<br><i>05/30/03</i> |
|-------------------------------------|------------------------------------|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

BEST AVAILABLE COPY

Please type a plus sign (+) inside this box → ☐

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Patent or

Approved for use through 10/31/99. OMB 0851-0031  
Trademark Office: U.S. DEPARTMENT OF COMMERCE  
PTO/SB/028 (10-98)  
unless it contains a valid OMB control number.

Substitute for form 1449B/PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

of

Complete if Known

Application Number

Filing Date

First Named Inventor

Group Art Unit

Examiner Name

Attorney Docket Number

Y0999-429

## OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner  
Initials\*

Cite  
No.†

Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.

MK

MK

"Extensible Markup Language (XML) 1.0: W3C  
recommendation 10-Feb-1998", <http://www.w3.org/TR/REC-xml>  
A. Deutsch et al. "Storing Semistructured Data with  
STOREO", SIGMOD '99, International Conf. Management  
of Data, Philadelphia PA (Acm 1999) pp 431-442

Examiner  
Signature

Markhanhquyen

Date

Considered

05/30/03

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

† Unique citation designation number. ‡ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

#6

PTO/SB/08A (04-03)

Approved for use through 04/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

## Complete if Known

Application Number 09/466,627  
Filing Date 12/12/1999  
First Named Inventor LO  
Art Unit 2176  
Examiner Name M. NGUYEN  
Attorney Docket Number YO 999-429

Sheet 1 of 1

## U. S. PATENT DOCUMENTS

| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Document Number                          | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|-----------------------|--------------------------|--|--------------------------------|--|---|
|                       |                          | Number-Kind Code <sup>2</sup> (if known) |                                |  |   |
| MK                    |                          | US 6,507,856 B1                          | 01-14-2003                     | CHEN ET AL.  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |

## FOREIGN PATENT DOCUMENTS

| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Foreign Patent Document   | Publication<br>Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant Passages<br>Or Relevant Figures Appear | T <sup>5</sup> |
|-----------------------|--------------------------|---|-----------------------------------|--|---|----------------|
|                       |                          | Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known) |                                   |  |   |                |
|                       |                          |   |                                   |  |   |                |
|                       |                          |   |                                   |  |   |                |
|                       |                          |   |                                   |  |   |                |
|                       |                          |   |                                   |  |   |                |
|                       |                          |   |                                   |  |   |                |
|                       |                          |   |                                   |  |   |                |
|                       |                          |   |                                   |  |   |                |
|                       |                          |   |                                   |  |   |                |

Examiner Signature *moncharhnguyen* Date Considered 05/30/03

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 608. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

01 - JCT39  
MAY 07 2003  
PATENT & TRADEMARK OFFICE

PTO/SB/086 (04-03)

Approved for use through 04/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

#7

Substitute for form 1449 (Rev. 10-1999)

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

## Complete if Known

|                        |            |
|------------------------|------------|
| Application Number     | 09/466,627 |
| Filing Date            | 12/17/1999 |
| First Named Inventor   | LO         |
| Art Unit               | 2176       |
| Examiner Name          | M. NGUYEN  |
| Attorney Docket Number | YO 999-429 |

RECEIVED

MAY 08 2003

Technology Center 2600

| NON PATENT LITERATURE DOCUMENTS |           |   |    |
|---------------------------------|-----------|---|----|
| Examiner Initials*              | Cite No.1 | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T2 |
| MK                              |           | V. Christophides et al, "From Structured Documents to Novel Query Facilities", Proc. ACM SIGMOD International Conf. Management of Data pp 313-324, 1994   |    |
| MK                              |           | K. Bihmet et al, "Structured document storage and refnod..." VLDB Journal vol 6(4): 296-311, November 1997  |    |
| MK                              |           | M. Volz et al, "Applying a flexible OODBMS - IRS - coupling to Structured document handling", Proc. International Conference on Data Engineering pp 10-19, 1996   |    |
| MK                              |           | Tsatolas et al, "The GMAP: A Versatile Tool for Physical Data Independence", Proc. 20th International VLDB Conference pp. 367-377 (1994)  |    |
| MK                              |           | M. Carey et al, "Towards Heterogeneous Multimedia Information Systems: The Garlic Approach", Proc. 15th International Workshop on Research... (RIDE): Distributed Object Management (1995)  |    |
| MK                              |           | A. Deutsch, "A Query Language for XML", Position paper for W3C query language workshop, (1998) <a href="http://www.w3.org/TR/NOTE-xml-ql">http://www.w3.org/TR/NOTE-xml-ql</a>  |    |
| MK                              |           | A. Malhotra et al, "RDF Query Specification", Position Paper for W3C query language workshop, <a href="http://www.w3.org/Team/QL/ql98/pp/rdfquery.html">http://www.w3.org/Team/QL/ql98/pp/rdfquery.html</a> (1998)  |    |
| MIC                             |           | J. Robie et al, "xml Query Language (XQL)", "Position Paper for W3C query language workshop (1998) <a href="http://www.w3.org/Team/QL/ql98/pp/xml.html">http://www.w3.org/Team/QL/ql98/pp/xml.html</a>  |    |
| MIC                             |           | J. McHugh et al, "Query Optimization for XML", Proc. 25th International Conf. on Very Large Data Bases (1999)   |    |

|                    |                          |                 |          |
|--------------------|--------------------------|-----------------|----------|
| Examiner Signature | <i>A. Nankhanhnguyen</i> | Date Considered | 05/30/03 |
|--------------------|--------------------------|-----------------|----------|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

BEST AVAILABLE COPY